

*FIPS 201 Evaluation Program
"Information Day"*

Office of Technology Strategy

April Giles

19 June 2006

Presentation Agenda



-
- Evaluation Program History
 - EP Commonly Used Terms
 - Stepping Through the Evaluation Process
 - After the APL
 - Frequently Asked Questions
 - Audience Questions & hopefully ☺ Answers

Evaluation Program History



- How did we get here?
 1. Analyzed FIPS 201 documentation --NIST
 2. Developed an Evaluation Program Strategy
 3. Extracted requirements from FIPS 201 documentation--- Created RTM
 4. Created Technology Categories

Evaluation Program History -continued



- How did we get here?
- 5. Defined Approval Mechanisms
 - Site visit,
 - Vendor Documentation
 - Vendor Test Data Review
 - Attestation
 - Certification
 - Lab Test Data Report.

Evaluation Program History -continued



- How did we get here?
 6. Created Approval Procedures
 7. Created Test Procedures
 8. Vetted documents through EPTWG
 9. Defined a modular laboratory on paper
 10. Engaged a contractor to provide lab services

EP Commonly Used Terms



- RTM (Requirement Traceability Matrix)
 - An excel spreadsheet that lists requirements extracted verbatim from FIPS 201 and Card/Reader interoperability specification.
 - Referenced in applicable Approval Procedures (REQ'T)
 - Posted online at: <http://fips201ep.cio.gov/index.php>
 - Update in progress

EP Commonly Used Terms



- Approval Procedure
 - Word document generated by the EP which defines the process for evaluation by the lab.
 - Unique for each category
 - Main Sections
 - 4.1 Requirements
 - 4.2 Approval Mechanism Matrix
 - 4.3 Evaluation Criteria
 - Vetted through EPTWG (EP Technical Working Group)
 - Posted online at: <http://fips201ep.cio.gov/index.php>

EP Commonly Used Terms



- Test Procedure

- Word Document generated by the EP which defines the process for testing products through the lab

- 6 categories require EP Lab testing

- Chuid Reader, Biometric Reader, Authentication Key Reader, Transparent Reader, Electromagnetically Opaque Sleeve, Electronic Personalization, PIV Card

- Vetted through EPTWG (EP Technical Working Group)

- Posted online at: <http://fips201ep.cio.gov/index.php>

EP Commonly Used Terms



- Evaluation
 - A process performed by the EP Lab on products or services submitted by Suppliers, to determine if FIPS 201 requirements have been met.
 - Only evaluating products and services defined by EP category
 - Can consist of reviewing documentation, or testing or site visit, or all of the above
 - Completed within 10 days of submitting a complete package
 - Confidential
 - Online application, status checking

EP Commonly Used Terms



- Supplier Catalog
 - A list of Suppliers that have requested information on one or more EP categories.
 - Suppliers enroll online at:
<http://fips201ep.cio.gov/index.php>, via the “[Enroll in the Evaluation Program Supplier Catalog.](#)” link
 - Updates forwarded for Supplier selected categories

EP Commonly Used Terms



- Category
 - Technology groupings created by EP
 - 21 categories
 - List of categories can be downloaded at: <http://fips201ep.cio.gov/index.php>, via the “[Product/Services Category List](#)” link
 - Selection of categories vetted through the EPTWG

EP Commonly Used Terms



- Approval Mechanism
 - Methodology used to determine if a Unit under evaluation meets a FIPS 201 requirement
 - 6 types of approval mechanisms
 - Site Visit, Vendor Documentation, Vendor Test Data Review, Attestation, Certification, and Lab Test Data Report
 - One or more may apply to a requirement
 - Each category has defined Approval Mechanisms in Approval Procedure

EP Commonly Used Terms



- Status

- Stage within the evaluation process Unit Under Evaluation is currently in
 - 27 statuses exist
 - Not changeable by Supplier
 - Able to be viewed by Supplier representative online through web-enabled tool (lab workflow manager)

Stepping Through the Evaluation Process



1. Determine if product/service requires EP lab evaluation.
 - a. Read Evaluation Programs' FIPS 201 Product/Service Category List. <[wksht](#)>
 - b. Determine if your product/service functionality aligns with category description

Stepping Through the Evaluation Process



2. Make business decision to determine whether or not to commit to Evaluation Process.

- Reading AP & TP (if applicable)
- Gathering Test data, Supplier documentation
- Aligning UUE functionality with AP requirements
- Eventually....fees

Stepping Through the Evaluation Process



3. Get login form signed by “C” level, and email to EP.

<[Login form](#)>

FIPS 201 Evaluation Program

User name: Password:

Welcome

Welcome to GSA's FIPS 201 Evaluation Program site.

What would you like to do?

1. [Register for EP Information Day.](#)
2. [Submit a product or service for evaluation.](#)
You will need to [obtain a login](#) before you can submit a product or service.
3. [Get information on the acquisition process.](#)
4. [View the approved products list.](#)
5. [Enroll in the Evaluation Program Supplier Catalog.](#)
6. [Check on the status of products/services.](#)
7. [View recent announcements.](#)
8. [Learn about current labs.](#)
9. [Contact us.](#)
10. [Obtain a login.](#)

Documentation

[Product/Services Category List](#)[Evaluation Program CONOPS](#)[Requirements Traceability Matrix](#)[Acquisition Process](#)[Lab Specification](#)[Configuration Management Plan](#)[Supplier VDR VTDR Justification](#)

[Approval Procedures](#)

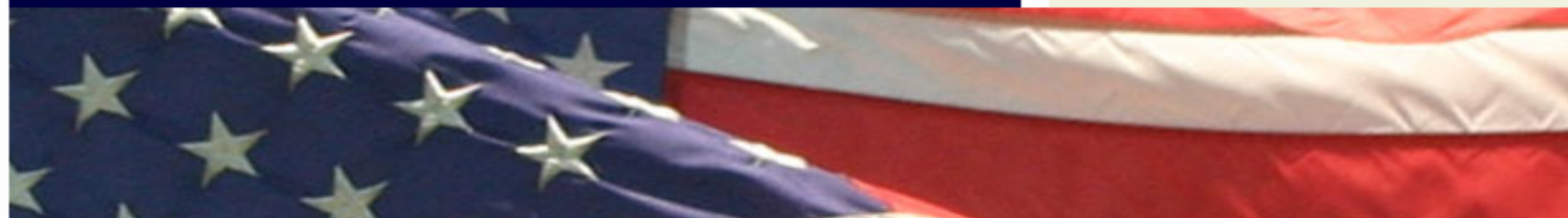
[Test Procedures](#)

[Special Publications](#)

[Supporting Documents](#)

[View All Documents](#)

FIPS 201 Evaluation Program



Obtain Login

In order to obtain a user login to the FIPS 201 Evaluation Program web site, please contact:

Brant Petrick
FIPS 201 Evaluation Program Site Administrator

brant.petrick@gsa.gov
1.202.208.4673 (office)

Only one person from a given vendor company may have a login to the FIPS 201 Evaluation Program site.

Include the following information in your correspondence:

1. Name
2. Organization
3. E-Mail Address
4. Phone Number
5. Completed [Login Form](#)

FIPS-201 Documentation

- [Product/Services Category List](#)
- [Evaluation Program CONOPS](#)
- [Requirements Traceability Matrix](#)
- [Acquisition Process](#)
- [Lab Specification](#)
- [Configuration Management Plan](#)
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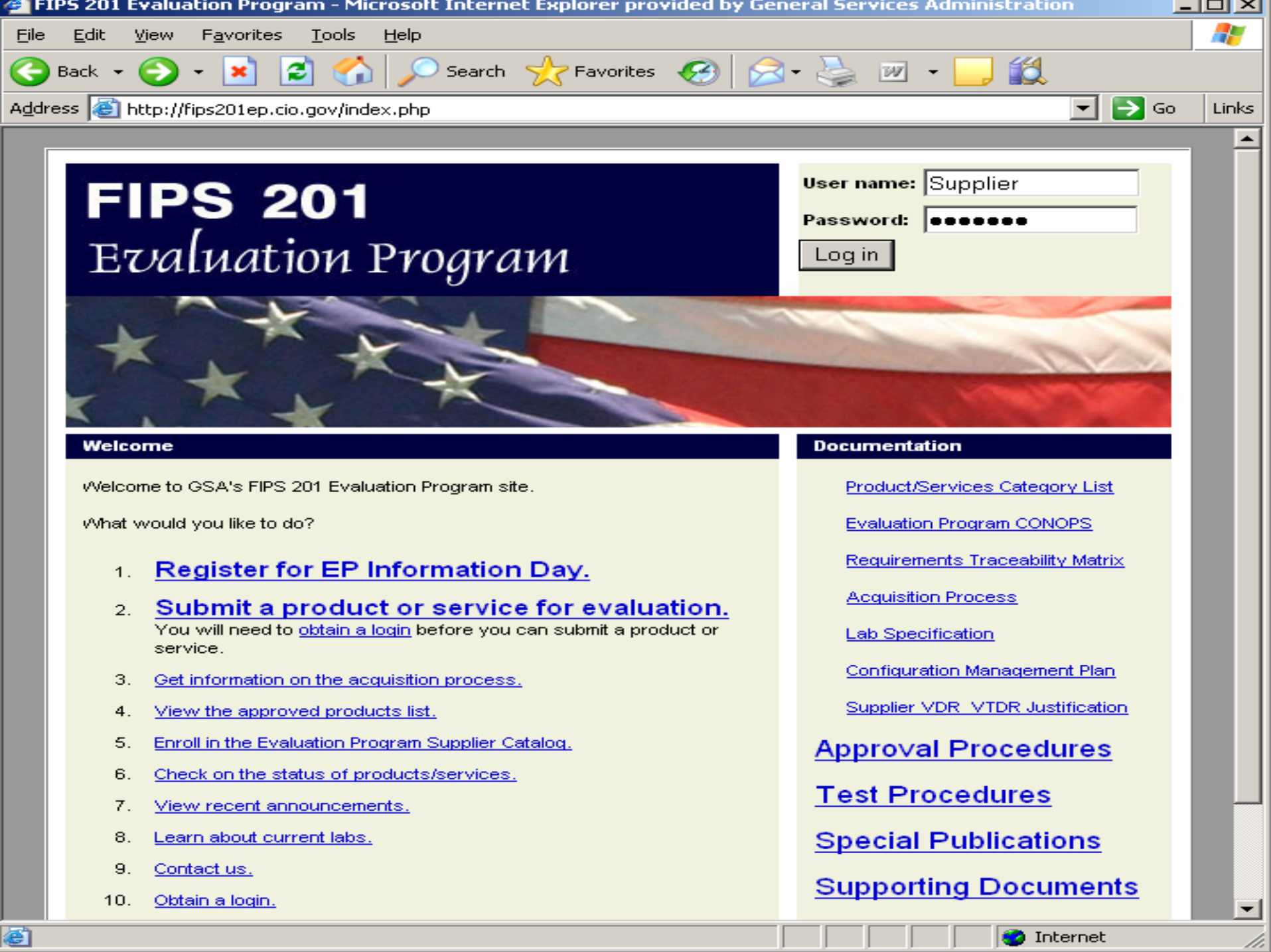
[Special Publications](#)

[Supporting Documents](#)

Stepping Through the Evaluation Process



- 4. EP will reply with username and password.
 - a. Only 1 user per organization.
 - b. Allows access to Vendor web enabled status tool.
 - c. Can only view status for own UUE
 - » 27 statuses



FIPS 201 Evaluation Program

User name:

Password:

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Welcome to GSA's FIPS 201 Evaluation Program site.

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[Supporting Documents](#)

27 Statuses

01. Begin Application

02. Package Submitted

03. Package Complete

04. Evaluation Scheduled

05. Evaluation In Progress

05a. SV Begun

05a. SV Complete

05b. VTDR Begun

05b. VTDR Complete

05c. LTDR Begun

05c. LTDR Complete

05d. VDR Begun

05d. VDR Complete

05e. C Begun

05e. C Complete

05f. A Begun

05f. A Complete

06. Evaluation Complete

Red = Automatically upgrades

Yellow = Approval Mechanisms

27 Statuses – Cont'd

07. Evaluation Report In Progress
08. Evaluation Report Complete
09. Evaluation Report Under Review
10. Awaiting Gov Approval Authorization
11. Approved
12. Non-Conformant
13. Awaiting Material Review
14. Material Review In Progress
15. Material Review Complete

Stepping Through the Evaluation Process



5. Supplier's technical representative thoroughly reads applicable Approval Procedure (and TP if applicable).
 - a. Categories with TP are;

Chuid Reader (2), Biometric Reader,
Authentication Reader, Electro-Sleeve,
PIV Card, Transparent Reader,
Electronic Personalization Device

Stepping Through the Evaluation Process



6. Vendors' technical representative determines which vendor documents can be submitted to EP as support for applicable approval mechanisms
 - Supplier VTDR_VDR justification
 - <[Supplier VTDR_VDR justification form](#)>
 - Certification documentation
 - Attestation Sheet

Stepping Through the Evaluation Process



7. Supplier's (authorized user) completes online application form.
 - Select:
"Apply for product/service evaluation"
 - Supplier completes online application form

FIPS 201 Evaluation Program



USA Flag

FIPS 201 Evaluation Program

[| [View Products and Services](#) | [Apply for Product/Service Evaluation](#) | [Submit Document Package](#) | [PIV Card Data Objects](#) | [Log Out](#) |]

Products and Services

Click on any product's name in order to view more information on that product.

Supplier	Product	Lab	Current Status	Date	Product Category
Vendor X	62: Test Product	GSA Evaluation Program Main	02. Package Submitted	2006-06-01	Transparent Reader
Vendor X	71: noneany	GSA Evaluation Program Main	02. Package Submitted	2006-06-13	Authentication Key Reader

FIPS 201 Evaluation Program



FIPS 201 Evaluation Program

[| [View Products and Services](#) | [Apply for Product/Service Evaluation](#) | [Submit Document Package](#) | [PIV Card Data Objects](#) | [Log Out](#) |]

Application Sheet

Company Name:

Address 1:

Address 2:

City: State: Zip:

Phone:

Primary Contact:

Phone: Email:

Secondary Contact:

Phone: Email:

Product: Version:

Stepping Through the Evaluation Process



8. UUE Status automatically changes to “Begin Application”
 - a. Instructions on how to view status of application are as follows:
 - i. Log in
 - ii. “View Products & Services” page is loaded. Select UUE (Product or Service)
 - iii. Scroll down to “Status History” section. Topmost status is most current.

Stepping Through the Evaluation Process



9. Supplier's authorized user uploads Supplier VTDR_VDR justification form, and supporting documents (if applicable)

Stepping Through the Evaluation Process



10. UUE Status automatically changes to “Package Submitted”
 - a. Even if all documents are not loaded, status will still change to “Package Submitted”
 - b. List of uploaded files will be shown in “Related Files” section

FIPS 201 Evaluation Program



FIPS 201 Evaluation Program

[| [View Products and Services](#) | [Apply for Product/Service Evaluation](#) | [Submit Document Package](#) | [PIV Card Data Objects](#) | [Log Out](#) |]
[| [Add File](#) |]

Case Number 62: Test Product

Lab:	GSA Evaluation Program Main
Description:	Description.
Status:	02. Package Submitted
Contact:	Brian Williams
Email:	brian.williams@enspier.com
Phone:	703.299.3444
Supplier:	Vendor X
Product Category:	Transparent Reader
Related Files:	62_Facial Image Capture.zip 62_dictionary.txt 62_sample.zin

Application Sheet

Company:	Test Company				
Address 1:	1640 King St.				
Address 2:	Suite 400				
City:	Alexandria	State:	DC	Zip:	22203
Phone:	703.299.3444				
Primary Contact:	Brian Williams				
Phone:	703.299.3444	Email:	brian.williams@enspier.com		
Secondary Contact:	N/A				
Phone:		Email:			
Name:	Test Product	Version:	1.0		
Category:	Transparent Reader				
List of Included Documentation:	Included documents.				
List of Included Hardware/Software Components:	Included components.				

Status History

02. Package Submitted 2006-06-01 09:30:56	The product has been submitted. (Vendor X)
01. Begin Application 2006-05-31 11:32:00	The object has been posted. (Vendor X)

Stepping Through the Evaluation Process



11. Lab reviews application, and supporting documentation to determine package completeness.
 - As defined by Approval Procedure
12. If Lab determines application submitted is complete then lab changes UUE Status to “Package Complete”
 - If Lab determines application not complete then an email will be generated and forwarded to Supplier, requesting additional documentation or material.

Stepping Through the Evaluation Process



- Supplier reactive from this point forward
- 13. Lab changes UUE Status to
“Evaluation in Progress”
 - a. 10 business days to complete

Stepping Through the Evaluation Process



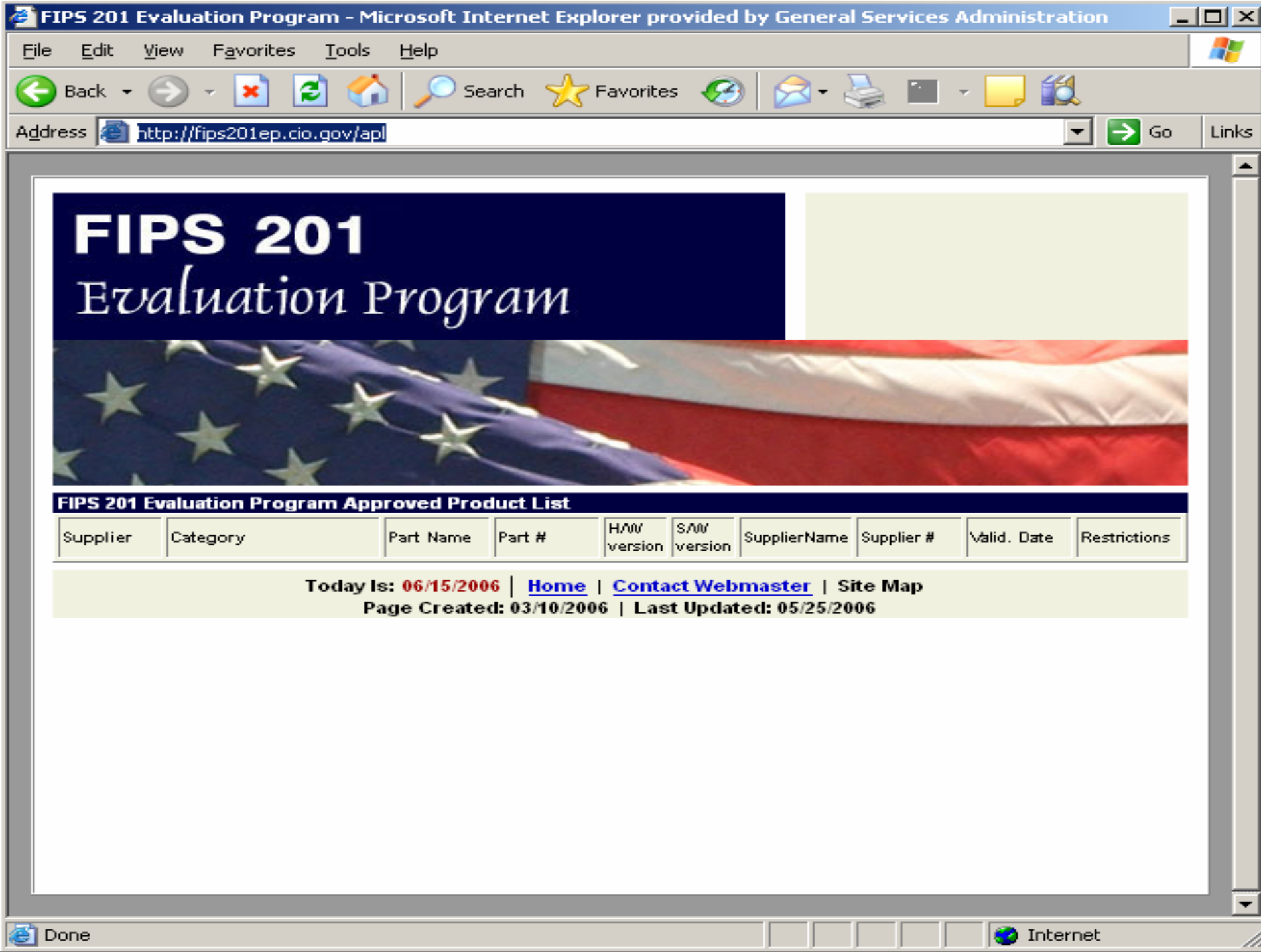
14. Lab completes evaluation as defined by applicable “Approval Procedure”
15. Lab changes status to “Evaluation Complete”
16. Lab generates an Evaluation Report.
17. Lab makes recommendation to Approval Authority of “Conformant” or “Non-Conformant”.

.

Stepping Through the Evaluation Process



- 20. Lab informs Supplier representative of Approval Authority's decision via email.
 - a. If approved, lab will forward approval forms (to Supplier's authorized representatives email), and add Supplier to Approved Product List online.



APL Maintenance



-
- Product Version identified on APL
 - Abbreviated process for product version updates
 - No projected fees for maintenance

Frequently Asked Questions



- Why does GSA have the responsibility to perform to perform FIPS 201 evaluations?
- Why isn't there a category on the FIPS 201 Product/Service category list for my product/service ?

Audience Questions & *hopefully* Answers



My Favorite part of the presentation



Thanks



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